

COMMONWEALTH OF KENTUCKY  
**Executive Branch Ethics Commission**



**Guide to the  
Executive Branch  
Code of Ethics**

**for State Government Officers  
and Employees**

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This Guide provides general information only and the statements contained in it do not have the force and effect of law. Amendments to the ethics law, regulations, and advisory opinions may modify or supersede any or all statements in the Guide. For more information, employees should contact the Executive Branch Ethics Commission or refer to the current edition of the **Kentucky Revised Statutes, Chapter 11A**, and **Title 9** of the **Kentucky Administrative Regulations**.

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## INTRODUCTION

he Guide explains the ethics laws contained in Kentucky Revised Statutes (KRS) Chapter 11A to which all state officers and employees (hereinafter referred to as "public servants" or "employees") in the executive branch of state government are subject. Please read it carefully.

**You are responsible for knowing and complying with these laws.**

The citizens of the Commonwealth have a right to expect honesty from state employees

and have confidence in their government. This Guide sets minimum standards of ethical behavior for public servants. However, as public servants, our goal should be to provide the public with the highest ethical standards of public service and not just the minimum. If we desire the citizens of the Commonwealth to view us as public servants worthy of their trust, we must each exercise good judgment, common sense, and ethical behavior.

This publication does not replace the actual law, nor does it explain all the ethical requirements to which you are subject. Additionally, the laws contained in KRS 11A may not provide guidance for all situations that you may encounter. If you have questions concerning a matter that is unclear or is not addressed in this Guide, you may contact the staff of the Executive Branch Ethics Commission at (502) 564-7954 for guidance.

## **EXECUTIVE BRANCH AGENCIES**

Executive branch agencies are those state agencies which are headed directly or indirectly by the governor or another statewide elected official to carry out the laws of the Commonwealth. Executive branch agencies include cabinets, departments, boards, commissions, public corporations and authorities. For purposes of the Executive Branch Code of Ethics and this Guide, any agency included as part of *The Executive Branch of Kentucky State Government (Revised, Informational Bulletin No. 171* [Legislative Research Commission]) is considered to be an executive branch agency. Thus, employees of such agencies are considered executive branch employees.

Employees of an agency that is directed by statute to adopt a code of ethics are exempt from the Executive Branch Code of Ethics.

A listing of executive branch agencies can be found in Appendix A. This list is intended to be all-inclusive, but is subject to error or omission.

In addition to employees of boards and commissions, members of certain boards and commissions also are subject to the Executive Branch Code of Ethics. A listing of these boards

and commissions is provided in Appendix B.

*Source:* KRS 11A.010(7); KRS 11A.015

*Advisory Opinion 95-4*

## **GENERAL STANDARDS OF CONDUCT**

It is the public policy of the Commonwealth that a public servant work for the benefit of the people of the Commonwealth. The Executive Branch Code of Ethics recognizes that public office is a public trust where government is based upon the consent of its citizens. Those citizens are entitled to have complete confidence in the integrity of their government. Thus, the following provisions provide general statements of required behavior of executive branch employees.

- Employees must be independent and impartial;
- Decisions and policies must not be made outside the established processes of government;
- Employees should not use public office to obtain private benefits;
- Employees' actions should promote public confidence in the integrity of government;
- Employees should not engage or be involved in any activity which has the potential to become a conflict of interest with their state employment.

*Source:* KRS 11A.005

## **SPECIFIC STANDARDS OF CONDUCT**

An executive branch employee, spouse or dependent child should not knowingly accept gifts or gratuities totaling a value greater than \$25, in a single calendar year, from any person or business that does business with, is regulated by, is seeking grants from, is involved in litigation against, or is lobbying or attempting to influence the actions of the state agency for which the employee works or from any group or association which has as its primary purpose the representation of such persons or businesses. Acceptance of such gifts may appear to be a conflict of interest and may damage public confidence.

**Exceptions:** As exceptions to the above prohibitions, acceptance of the following gifts is permissible:

- A campaign contribution to an employee's own campaign if in compliance with the campaign finance laws;
- A gift from a family member;
- Door prizes, available to the public;
- A ticket for admission to a sporting event if the ticket or admission is paid for by the employee at face value.



- A gift or gratuity received by an employee working directly on an economic incentive package or seeking to bring tourism to the state which was not solicited by the employee and was accepted in performance of the employee's official duty. Such gifts must be registered with the Commission and, if of a tangible value of more than \$25, must be turned over to the appropriate agency.
- The Commission may authorize other exceptions where an appearance of impropriety will not be created.

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All gifts, including those listed above, received by an elected official or officer as defined in KRS 11A.010(7) which total \$200 or more annually from a single source must be disclosed on the employee's Statement of Financial Disclosure filed annually with the Commission.

An employee inspects a business for safety violations. He may not accept a \$30 gift certificate from the business.

The father of an employee of the Transportation Cabinet works for a consulting firm that seeks to do business with the state. The employee may accept a gift from his father as long as his father is not acting for the consulting firm in the giving of the gift.

A Christmas gift valued at \$50 is sent from a potential vendor to the "state office." The gift should be returned to the potential vendor, if possible. Otherwise, the gift should be donated to charity and the gift's disposition should be documented.

A cabinet secretary receives a painting with a \$300 value from an old college friend who has no

business or regulatory relationship with the state. The secretary may accept the painting, but must report the gift on his Statement of Financial Disclosure filed with the Commission.

As part of his official duty to promote economic development, an employee is involved with the expansion of a major automobile manufacturer within the state. Officials of that company provide the employee with a gift which has a \$50 value. The employee may accept the gift, but it must be registered with the Commission and turned over to the proper agency.

*Source:*           *KRS 11A.045*

*Advisory Opinion 94-19*

A state employee (or state agency) should not solicit money, goods, or services or accept donations from persons or businesses that do business with or are regulated by the agency for which the employee works unless the solicitation is to raise funds for a charitable, nonprofit organization or is for crime prevention, drug and alcohol prevention, and traffic safety programs. In addition, an employee should not accept donations from a person or business if that person or business is seeking to do business with the agency for which the employee works, unless the donation is to raise funds for a charitable, nonprofit organization or is for crime prevention, drug and alcohol prevention, and traffic safety programs. The appearance of a conflict of interest prohibits an employee or state agency from soliciting or accepting such donations.

A local supermarket offers a donation of ground meat for a chili lunch to benefit the Kentucky Employees Charitable Campaign. Occasionally, someone who works for the agency for which you work makes purchases on behalf of that agency at the supermarket. You may accept the donation of meat from the supermarket because it is for a charitable, nonprofit organization.

An employee of an agency that regulates utility companies, but who works within a separate division from the division that has direct regulatory control over the utility companies, wants to solicit donations from utility companies for a worthwhile environmental educational project. The employee is prohibited from soliciting donations from the utility companies.

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An employee works for the agency that regulates some aspects of the work of architects on building projects his agency must review for approval. The employee is involved, privately, in a local Habitat for Humanity project on which a local architect has offered his services. The local Habitat for Humanity may solicit and accept the services of the architect.

Your agency is involved in planning its 40<sup>th</sup> anniversary celebration. You may not solicit vendors of your agency to contribute to such an event.

The national professional association for employees of your agency plans to host its annual meeting in Kentucky. As such, employees of your agency will be involved in the planning and conducting of the conference. Vendors of your agency wish to donate funds to sponsor a golf tournament. Employees of your agency should not solicit sponsors for the golf tournament who are vendors or are seeking to do business with your agency. However, the national professional association may seek such sponsors provided such solicitation does not involve employees of your agency.

*Source: House Bill 503, Section 2 (enacted in the 2002  
Regular Session)*

*Advisory Opinions 93-45*

State agencies and employees, acting as representatives of their respective agencies, should take great care not to reflect that they are endorsing or promoting a specific product or company. State agencies should not actively endorse or promote a company when no corresponding public benefit to the citizens of the Commonwealth or to the state's economic development will occur. State agencies should not allow private companies to reference any state agency on material distributed for promotional purposes of the company or its products.

Public/private partnerships may be allowed when the purpose of partnering is to promote a state program that will benefit the entire Commonwealth or will promote economic development or tourism in the state. Such partnering should be open to any company interested in partnering.

The Attorney General may provide a statement reflecting his views in an educational book on consumer scams related to the mission of the Office of the Attorney General, provided the statement does not reflect that the Attorney General is promoting the sale of the book.

The Kentucky State Police may not allow Ford Motor Company to use the state police insignia on a sport utility vehicle ("SUV") display model for use in promoting the use of SUVs by law

enforcement agencies.

Materials distributed by private companies which are merely brochures advertising a state program and do not identify the private company, other than to state "printed by" and the company's name, are permitted.

*Source:*           *KRS 11A.020(1)(d)*

*Advisory Opinions 00-18, 00-24, 02-21*

An employee must not knowingly:

- Use or attempt to use his influence in a matter which involves a substantial conflict between the employee's personal or private interest and duties in the public interest;
- Use or attempt to use any means to influence a public agency in disregard of the public interest at large;
- Use his official position or office to obtain financial gain for himself or any family member;
- Use or attempt to use his official position for personal privileges or advantages in disregard of the public interest at large.

An employee who appears before a state agency must avoid all conduct which in any way might lead the public to believe that the employee is using his official position to further his professional or private interest.

An employee who abstains from involvement in an official decision because of a personal or private interest must disclose that fact in writing to his supervisor.

An employee must not disclose or use confidential information acquired in the course of his official duties in order to further his own economic interests or the interests of another person.

As an employee, you develop a software program on your own time similar to that which is used by the agency for which you work. You intend to market this software to outside attorneys who are involved with your agency in litigation. Because you would be using your official position for financial gain, you may not market your software to the same private attorneys with whom you have contact through your state employment.

In your state employment, you become aware of confidential bond information which you could use to help your personal investments. You may not use the information obtained for your own personal advantage.

You are employed as an auditor for the state agency responsible for auditing county governments. As such you are involved in the annual audit of various counties, including the one in which you live. You have been asked to serve on a "ethics board" for the county in which you live. You will be paid a certain amount per diem for your services. You may not serve on a board and receive compensation from the county which is regulated by the agency for which you work.

*Source: KRS 11A.020, KRS 11A.040(1)*

*Advisory Opinions 93-12, 93-18, 93-37*

An employee, his spouse and his dependent children should not own an interest with a value of 5% or more of an entity that is regulated by the state agency for which the employee works, unless:

- 1) The stock or other interest is purchased exclusively through participation in a publicly traded mutual fund where the purchasing and selling decisions are completely out of the control of the employee or spouse; or
- 2) In his state employment, neither the employee, nor anyone under his supervision is directly involved in any matters concerning the company or other entity of which he owns an interest.

Additionally, an employee, his spouse and his dependent children should not own an interest with a value of 5% or more of an entity that does business with the state agency for which the employee works, unless the stock or other interest is purchased exclusively through participation in a publicly traded mutual fund where the purchasing and selling decisions are completely out of the control of the employee or spouse.

The spouse of the director of the division responsible for telecommunications owns an interest of more than 5% in a

communications company that does business with the division for which the director works. The director's spouse may retain an interest in the company up to a value of 5%, but must divest any interest he or she has in the company which is over 5%.

An employee of the department responsible for state computer systems owns \$20,000, but less than 5%, of stock in a computer company that sells products to the employee's department. As a part of his official duty, the employee is not directly involved in any matters concerning the company of which he owns an interest. He is not required to divest himself of any of his stock.

*Source: KRS 11A.040(4)*

*Advisory Opinion 00-20*



An employee must not knowingly act as a representative of the state in the transaction of any business or regulatory matters with any business of which the employee or a member of his family owns more than five percent (5%).

"Family" includes an employee's spouse and children, as well as an employee's parent,

brother, sister, grandparent, grandchild, father-in-law, mother-in-law, brother-in-law, sister-in-law, son-in-law, daughter-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, or half sister.

An agriculture inspector owns an egg business that he leases to a non-family member. As part of his state employment, the inspector inspects businesses that purchase eggs from his leased egg business. The inspector, a representative of the state, is prohibited from inspecting businesses that purchase eggs from his leased egg business.

Your husband owns a business that is inspected and regulated by the division for which you work. You must not inspect your spouse's business or any business that is in competition with your spouse's business. In addition, you should not work in the same division as inspectors of your spouse's business.

*Source: KRS 11A.040(3), KRS 11A.010(4)*

*Advisory Opinions 93-26, 94-15*

An employee, spouse, or business of which employee or spouse owns at least five percent (5%), must not knowingly have any agreement or contract with the state agency for which the employee works. This includes contracts that are awarded through a competitive bid process and also grants that are awarded by state agencies. This provision does not apply to agreements made pursuant to eminent domain, those involving funds disbursed through entitlement funds, or purchases from a state agency that are available on the same terms to the general public or that are made at public auction.

In addition, all contracts and agreements between an employee and a state agency must comply with the Model Procurement Code in KRS Chapter 45A.

You own a computer products company and wish to sell your products to the state agency for which you work. You are prohibited from selling any products to your state agency.

Your spouse owns and operates a catering business and wishes to cater a Christmas party for a state agency for which you do not work. Your spouse is not prohibited from providing the catering services, provided he or she is in compliance with the Model Procurement Code.

*Source: KRS 11A.040(4)*

*Advisory Opinion 93-15*

Without the approval of the Commission, an employee must not knowingly accept compensation, other than state salary, for performance of his official duty. An employee is permitted to accept compensation for providing a service which is not a part of the official duty directed by his supervisor. Such service must be performed on the employee's own time and without the use of state resources.

The branch manager for the traffic safety division is asked to give a speech on hybrid tea roses to a garden club at night. The manager may accept the \$25 honorarium given by the garden club because the speech is not a part of the employee's official duty and is given on the employee's own time.

The secretary of a cabinet is asked to give a commencement address at a state university. Part of the secretary's official duties involve speaking at commencement ceremonies. Thus, without the approval of the Commission, the secretary may not accept the honorarium.

You are required to perform jury duty service for a month. You may accept the compensation for jury duty service in addition to your state salary since jury duty is not part of your official employment duty.

*Source: KRS 11A.040(5)*

*Advisory Opinions 93-31, 94-14*

An employee is prohibited from accepting outside employment from any person or business that does business with or is regulated by the state agency for which the employee works unless the outside employment is approved by the employee's appointing authority. To obtain approval for such outside employment, an employee must submit a statement to his appointing authority affirming that in his state employment he is not involved in any decisions concerning the outside employer for whom he wishes to work. The appointing authority may not approve the outside employment if the employee is involved in any matters concerning the outside employer for whom he wishes to work.

The Code of Ethics does not prohibit an employee from accepting outside employment with a state college or university as long as such employment does not interfere or conflict with the employee's state employment duties.

You work as a youth social worker for the state. In addition, you would like to obtain outside employment with a nursing home that is regulated by the agency for which you work. You are not involved in any decisions concerning nursing homes in your state employment. You may accept outside employment with the nursing home if you submit a request and obtain the approval of your appointing authority.

You work as a nurse for a state-administered hospital. In addition, you sell beauty products for a company that is not regulated by, nor does business with, the state agency for which you work. You may continue your outside employment because there is no business or regulatory relationship between the state agency for which you work and the beauty product company. No approval is needed from your appointing authority unless it is required by an in-house policy.

You work as a state inspector of pharmacies. You wish to obtain weekend employment at a local pharmacy that you inspect. In your state employment, you are involved in decisions concerning the outside employer for whom you wish to work. Thus, you are prohibited from such outside employment.

*Source: KRS 11A.040(10)*  
*9 KAR 1:050*

A former employee is prohibited for one year following termination of employment from acting as or employing a lobbyist in matters in which the former employee was directly involved during the last three years of his state tenure. The term "lobbyist" includes an executive agency lobbyist registered with the Commission as well as a legislative agent registered with the Kentucky Legislative Ethics Commission. A former employee also is prohibited for one year

following termination of employment from representing a person or business before a state agency in a matter in which the former employee was directly involved during the last three years of his state tenure. "Representing" includes attending an agency proceeding, writing a letter, or communicating with an employee of an agency on behalf of someone else. "Directly involved" modifies the word "matter" and means to work on personally or to supervise someone who works on personally.

A current or former officer or elected official is prohibited for six months following termination of employment from accepting employment or compensation from any person or business that does business with, or is regulated by, the state in a matter in which he was directly involved during the last 36 months of his state tenure. An officer is allowed to return to the same business or profession in which he was involved prior to state employment, but, for six months, must not work on any matter in which he was directly involved during the last 36 months of his state employment.

In addition, a former officer or elected official is prohibited, for six months, from knowingly, by himself or through a business of which he owns at least 5%, contracting or having an agreement with the state agency for which he formerly worked. This restriction does not apply to former officers of the Department of Public Advocacy whose continual representation of clients is necessary in order to prevent an adverse effect on the client.

The Code of Ethics does not prohibit a former employee from accepting employment with a state college or university immediately following termination of his state employment.

A former employee was responsible for reviewing permit applications from various companies. He was not considered an officer. The former employee wishes to obtain employment with a company for which he had reviewed permit applications during his recent employment. His new employment will involve representing the company in new permit applications before the employee's former agency. The employee may accept employment with the company, but for one year following his termination, must refrain from representing the company before his former agency in permit matters.

A commissioner of a regulatory department is considering seeking employment, upon resignation, with an entity that is regulated by the agency that he heads. The commissioner will

be returning to his former profession. The commissioner may accept employment

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with the outside entity that his agency regulates, but for six months must refrain from working on any matter involving the agency that he formerly headed. In addition, for one year, the commissioner may not act as a lobbyist or represent his employer before his former state agency.

You are relieved from your job as a division director because of differences with your supervisors. Even though your termination was involuntary, you are still subject to the post-employment restrictions.

*Source:*            *KRS 11A.040(6), (7), (8), (9)*

*Advisory Opinions 92-8, 94-54, 94-69*

## **FINANCIAL DISCLOSURE**

lected officials, officers, and candidates for executive branch offices are required annually to file statements of financial disclosure. The disclosure statements are public records and are used to identify conflicts or potential conflicts of interest. The Commission is required to audit the statements.

The Commission will notify you if you are required to file a disclosure statement. The Statement of Financial Disclosure may be found on the Commission's website:

[www.state.ky.us/agencies/ethics/ETHICS.HTM](http://www.state.ky.us/agencies/ethics/ETHICS.HTM)

Additionally, if you are not an officer or elected official, but wish to voluntarily file a statement of financial disclosure, you may do so. Please contact the Commission for a statement of financial disclosure form if necessary.

*Source: KRS 11A.050*



## **EXECUTIVE BRANCH ETHICS COMMISSION**

The Executive Branch Ethics Commission is composed of five members appointed by the governor to serve staggered terms of four years. The Commission is responsible for providing guidance, issuing advisory opinions, and investigating potential violations of KRS Chapter 11A. You are encouraged to seek guidance from the Commission staff if you have questions concerning ethical matters which are not answered in this Guide. The Commission staff will provide you with guidance or refer your request to the Commission for an advisory opinion.

The Commission meets approximately every six weeks to discuss advisory opinions and other matters. Meetings are open to the public. Please contact the Commission office for specific meeting dates. Investigatory matters are discussed in executive sessions which by law are not open to the public.

*Source: KRS 11A.060, KRS 11A.110*

## **ADVISORY OPINIONS**

The Executive Branch Ethics Commission is authorized to interpret the provisions in KRS Chapter 11A and issue advisory opinions. If you are unclear as to the requirements of the Code of Ethics or have questions which are not answered by the Code, you may seek an advisory opinion from the Executive Branch Ethics Commission. The Commission must receive a written request for an advisory opinion at least two weeks prior to a scheduled meeting for the request to appear on the agenda for the meeting. Please include all information relative to the situation about which you inquire. The Commission staff may contact you for additional information prior to the issuance of an advisory opinion.

A draft opinion will be reviewed by the Commission at a public meeting which you may attend. The Commission will make a determination in response to your request. Upon approval of the draft, you will be sent a copy of the final advisory opinion. An advisory opinion may protect you in the event that a complaint is filed against you. Advisory opinions are enforceable unless a court of law declares otherwise.

*Source: KRS 11A.110(1)*

## INVESTIGATIONS

he Executive Branch Ethics Commission must investigate an alleged violation of KRS Chapter 11A upon receiving a complaint signed under penalty of perjury. The Commission may also investigate an alleged violation upon its own motion. Information received by the Commission staff in person, by telephone, by letter or through the media that indicates an employee may have violated the Code is researched and, if it appears to be valid, is presented to the Commission for determination as to whether to initiate a preliminary investigation upon its own motion.

Within ten days of the initiation of the preliminary investigation, the Commission must forward to the alleged violator a copy of the complaint (if applicable) and a general statement of the law violated. Thus, the Commission will notify you if you are under investigation.

Unless an alleged violator publicly discloses the existence of the preliminary investigation, the Commission is required to keep confidential the details of the preliminary investigation until the Commission determines probable cause of a violation and initiates an administrative proceeding to determine whether there has been a violation. However, the Commission may inform a referring state agency of the status of, or any action taken on, an investigative matter referred to the Commission by the agency. If, during the preliminary investigation, evidence is not sufficient to show probable cause of a violation, the employee is confidentially informed that the investigation is terminated and such notification remains confidential. This confidentiality is designed to protect the reputation of an employee who is falsely accused of a violation or against whom there is insufficient evidence to warrant further action.

The Commission may find probable cause of a violation during a preliminary investigation, but, due to mitigating circumstances (such as lack of financial gain to the employee, lack of loss to the state, and lack of impact on public confidence) may confidentially reprimand the alleged violator rather than initiate an administrative proceeding.

All administrative hearings of the Commission are public unless the Commission votes to go into executive session in accordance with the open meetings law. During the administrative hearing, the alleged violator has due process rights to be represented by counsel, call witnesses, introduce exhibits, and cross examine witnesses. A final determination whether a violation occurred is made by the Commission. A respondent may appeal a final Commission order to the Franklin Circuit Court for judicial review. A respondent must file such an appeal within thirty (30) days of being served with the Commission's order.

*Source: KRS 11A.080, KRS 11A.100*

## **PENALTIES**

The Executive Branch Ethics Commission, upon clear and convincing proof of a violation of the Code of Ethics may:

- Publicly reprimand the violator;

- Recommend to the violator's appointing authority that he be removed from office;
- Issue a civil penalty of not more than \$5,000 for each violation.

In addition, violations of KRS 11A.040 must be referred to the Attorney General for criminal prosecution. Any person who is found in violation of KRS 11A.040 is guilty of a Class D felony which is punishable by one to five years in jail and additional fines.

An employee who fails to file with the Commission his statement of financial disclosure by the due date will have his salary withheld until the statement is filed.

*Source: KRS 11A.100, KRS 11A.990*

## **EXECUTIVE AGENCY LOBBYING**

Persons and entities engaged to make contacts with executive agency officials or staff in an attempt to influence a decision concerning the expenditure of state funds are executive agency lobbyists and are required to register with the Executive Branch Ethics Commission

An executive agency lobbyist must report to the Commission annually any expenditure made to or on behalf of an executive branch employee. In addition, the executive agency lobbyist is required to report any financial transaction he has with, or for the benefit of, an executive branch employee. A copy of the required expenditure or financial transaction statement must be sent to the official or employee by the lobbyist at least ten days prior to the date it is filed with the Commission.

Executive agency lobbyists are issued a registration card upon registration. You may

request to see the registration card of a person who is attempting to influence a decision to be made concerning state funds.

For more information on executive agency lobbying, you may request an executive agency lobbying handbook from the Executive Branch Ethics Commission.

*Source: KRS 11A.201-246*

## **IN ADDITION...**

n executive branch agency may adopt internal policies concerning ethics as long as the policies are at least as restrictive as, and do not conflict with, the Executive Branch Code of Ethics. As an agency employee, you are subject to the ethics policies adopted by the agency for which you work.

Employees also are subject to laws that are ethical in nature relating to procurement, personnel, open records, open meetings, campaign finance, and criminal law.

State legislators and legislative agents are subject to a code of ethics administered by the Kentucky Legislative Ethics Commission.



# APPENDICES

## APPENDIX A

### CONSTITUTIONAL AGENCIES / ELECTED OFFICIALS

Agriculture, Department of	Lt. Governor, Office of the
Attorney General, Office of the	Secretary of State
Auditor of Public Accounts	State Treasurer
Governor, Office of the	

### GENERAL GOVERNMENT / BOARDS AND COMMISSIONS

Accountancy, Board of	Nursing, Board of
Agricultural Development Board	Nursing Home Administrators,
Alcohol and Drug Counselors, Board of	Board of
Architects, Board of	Occupational Therapy, Board of
Athletic Commission	Ophthalmic Dispensers, Board of
Auctioneers, Board of	Optometric Examiners, Board of
Barbering, Board of	Pharmacy, Board of
Charitable Asset Administration Board	Physical Therapy, Board of
Chiropractic Examiners, Board of	Postsecondary Education, Council on
Coal Council	Private Investigators, Board of
Dentistry, Board of	Licensure for
	Professional Art Therapists, Board of



Dieticians and Nutritionists, Board of	Professional Counselors, Board of
Early Childhood Development, Office of	Professional Engineers and Land
Elections, Board of	Surveyors, Board of
Embalmers and Funeral Home	Professional Geologists, Board of
Directors, Board of	Psychologists, Board of
Emergency Medical Services, Board of	Real Estate Appraisers, Board of
Executive Branch Ethics Commission	Real Estate Commission
Governor's Office for Technology	Registry of Election Finance
Hairdressers and Cosmetologists,	Respiratory Care, Board of
Board of	Secretary of the Governor's Executive
Hearing Instrument Specialists,	Cabinet, Office of the
Board of	Small Business Advocacy,
Heating, Ventilation and Air Conditioning,	Commission on
Board of	Social Workers, Board of
Human Rights Commission	Speech Pathologists and Audiologists,
Infrastructure Authority	Board of
Landscape Architects, Board of	Substance Abuse Policy, Agency for
Local Government, Department of	State Budget Director, Office of
*Lottery Corporation	Therapists, Board of
Marriage and Family Therapy,	Veteran's Affairs, Department of
Board of	Veterinary Examiners, Board of
Medical Licensure, Board of	Watchmakers, Board of Examiners of
Military Affairs, Commission on	Women, Commission on
Military Affairs, Department of	

Administration and Support	Economic Development Partnership
Business Development	Financial Incentives
Community Development	Forest Products Council
Economic Development Finance Authority	Secretary, Office of the Tobacco Research Board

<b>EDUCATION, ARTS AND HUMANITIES CABINET</b>	
Arts Council	Kentucky Educational Television
Center for the Arts	Libraries and Archives
Deaf & Hard of Hearing, Commission On Education	School Facilities Construction Commission
Education Professional Standards Board	Secretary, Office of the State Advisory Council on Libraries
Geographic Education Board	Teachers' Retirement System
Heritage Council	
Historical Society	

<b>FAMILIES AND CHILDREN CABINET</b>	
Community Based Services	Performance Enhancement
Disability Determination	Program Support
Family Resource and Youth Services Centers	Public Assistance Appeals Board
General Counsel	Secretary, Office of the Technology Services
Human Services and Collaboration, Commission on	

<b>FINANCE AND ADMINISTRATION CABINET</b>	
Administration	Local Correctional Facilities Construction Authority
Central State Hospital Recovery Authority	Management and Budget

Controller	Personnel Steering Committee
County Officials Compensation Board	Private Activity Bond Allocation Committee
Economic Roundtable	Public Officials Compensation Commission
Facilities Management	River Authority
Financial Management	Savings Bond Authority
Governmental Services Center	Secretary, Office of the
Higher Education Assistance Authority	State Investment Commission
Higher Education Student Loan Corporation	State Property and Buildings Commission
Housing Corporation	Tobacco Settlement Trust Corporation
Interpreters for the Deaf and Hard of Hearing, Board of	Turnpike Authority
Kentucky Retirement Systems	

<b>HEALTH SERVICES CABINET</b>	
Aging Services	Medicaid Services
Certificate of Need, Office of	Mental Health/Mental Retardation Services
Children with Special Health Care Needs, Commission for	Program Support
General Counsel	Public Health
Inspector General	Secretary, Office of the
Malt Beverage Education Corporation	Women's Health
<b>JUSTICE CABINET</b>	
Corrections	Parole Board

Criminal Justice Training Juvenile Justice Kentucky State Police	Secretary, Office of the State Medical Examiners Office
<b>LABOR CABINET</b>	
Administrative Services Apprenticeship and Training Council Employee's Insurance Association Employers' Mutual Insurance Authority General Counsel Guaranty Funds Labor-Management Advisory Council Labor-Management Relations and and Mediation Occupational Safety and Health Review Commission	Occupational Safety and Health Standards Board Prevailing Wage Review Board Secretary, Office of the State Labor Relations Board Uninsured Employers' Fund Workers' Claims Workers' Compensation Advisory Council Workers' Compensation Board Workers' Compensation Funding Commission Workplace Standards
<b>NATURAL RESOURCES AND ENVIRONMENTAL PROTECTION CABINET</b>	
Administrative Hearings Administrative Services Environmental Protection Environmental Quality Commission Forest Resource Council General Administration and Support Information Services, Office of	Inspector General Legal Services, Office of Natural Resources Secretary, Office of the State Nature Preserves Commission Surface Mining Reclamation & Enforcement

<b>PERSONNEL CABINET</b>	
Administrative and Legal Services,  Office of  Employee Relations  Group Health Insurance Board  Personnel Administration	Personnel Board  Public Employees Deferred  Compensation Authority  Secretary, Office of the
<b>PUBLIC PROTECTION &amp; REGULATION CABINET</b>	
Alcoholic Beverage Control  Board of Claims  Charitable Gaming  Crime Victims Compensation Board  Financial Institutions  Health Care Improvement Authority  Housing, Buildings & Construction  Insurance	Mines and Minerals  Petroleum Storage Tank Environmental  Assurance Fund  Public Advocacy  Public Service Commission  Racing Commission  Secretary, Office of the  Tax Appeals, Board of
<b>REVENUE CABINET</b>	
Information Technology  Law  Property Valuation	Secretary, Office of the  Tax Administration
<b>TOURISM DEVELOPMENT CABINET</b>	
Administrative Services  Appalachian Kentucky Artisans  Gateway Center Authority  Fish and Wildlife Resources  General Counsel	Parks  Secretary, Office of the  State Fair Board  Travel

Horse Park Commission	
<b>TRANSPORTATION CABINET</b>	
Administrative Services	Policy and Budget Public Affairs
Fiscal Management	Rural and Municipal Aid
General Counsel and Legislative Affairs	Secretary, Office of the
Highways	Transportation Delivery
Human Resources Management	Vehicle Regulation
Intermodal Programs	
Minority Affairs	

<b>WORKFORCE DEVELOPMENT CABINET</b>	
Adult Education and Literacy	Secretary, Office of the
Assistive Technology Loan Corporation	State Board of Proprietary Education
Blind, Department for the	Technical Education
Employment Services	Training and Employment
Occupational Information Coordinating Committee	Vocational Rehabilitation

*\*Exempt from the Executive Branch Code of Ethics*

*(KRS 11A.015)*



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**APPENDIX B**

In addition to employees of all boards and commission, *members* of the following boards and commissions are also subject to the Executive Branch Code of Ethics:

- Board of Claims
- Board of Tax Appeals
- Charitable Asset Administration Board
- Council on Postsecondary Education
- Employers' Mutual Insurance Authority
- Kentucky Board of Education
- Kentucky Retirement Systems Board of Trustees
- Occupational Safety and Health Review Commission
- Parole Board
- Public Service Commission
- Workers' Compensation Board and its  
Administrative Law Judges

*Source:* KRS 11A.010(7), KRS 342.837

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**NOTES**

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Executive Branch Ethics Commission

258 Capitol Annex

702 Capitol Avenue

Frankfort, Kentucky 40601

502-564-7954

502-564-2686 (fax)

[www.state.ky.us/agencies/ethics/ETHICS.HTM](http://www.state.ky.us/agencies/ethics/ETHICS.HTM)

*(paid for with state funds)*

*KRS 57.375*

(end)